

3629

Attorney's Docket No.: 59036-249728

Patent

In re the Application of: Christopher L. Jones

(inventor(s))

Application No.: 09/495,982

Filed: February 1, 2000

For: Financial Advisory System

(title)

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

SIR: Transmitted herewith is an Amendment for the above application.

Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established by a verified statement previously submitted.

A verified statement to establish small entity status under 37 C.F.R. §§ 1.9 and 1.27 is enclosed.

No additional fee is required.

The fee has been calculated as shown below:

	(Col. 1)		(Col. 2)	(Col. 3)
	Claims Remaining After Amd.		Highest No. Previously Paid For	Present Extra
Total Claims	*	57	Minus	** 33 24
Indep. Claims	*	11	Minus	*** 6 5
<b>First Presentation of Multiple Dependent Claim(s)</b>				

SMALL ENTITY		OTHER THAN A SMALL ENTITY	
Rate	Additional Fee	Rate	Additional Fee
X9	\$	X18	\$ 432.00
X42	\$	X84	\$ 420.00
+140	\$	+280	\$
Total Add. Fee	\$	Total Add. Fee	\$852.00

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest No. Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on Dec. 27, 2002  
Date of Deposit

Debbie Peloquin

Name of Person Mailing Correspondence

Signature

Debbie Peloquin

12-27-02

Date

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JAN 07 2003

GROUP 3600

Docket No.: 59036-249728

Application No.: 09/495,982

A credit card form in the amount of \$852.00 is attached for presentation of additional claim(s).

Applicant(s) hereby Petition(s) for an Extension of Time of 1 month(s) pursuant to 37 C.F.R. § 1.136(a).

A credit card form for \$ 110.00 is attached for processing fees under 37 C.F.R. § 1.17. Please charge my Deposit Account No. \*\*\*\*\* the amount of \$\_\_\_\_\_.

**A duplicate copy of this sheet is enclosed.**

The Commissioner of Patents and Trademarks is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 06-0029 (**a duplicate copy of this sheet is enclosed**):

Any additional filing fees required under 37 C.F.R. § 1.16 for presentation of extra claims.

Any extension or petition fees under 37 C.F.R. § 1.17.

Date: 12/27/02

FAEGRE & BENSON LLP

Michael A. DeSahctis  
Reg. No. 39,957

2500 Republic Plaza  
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Denver, Colorado 80202

Docket No.: 59036-249734  
Application No.: 09/495,982



Under the Paperwork Reduction Act of 1995, no persons are required to a collection of information unless it displays a valid OMB control number

## FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT (\$) 962.00

## Complete if Known:

Application No. 09/495,982  
 Filing Date February 1, 2000  
 First Named Inventor Christopher L. Jones  
 Group Art Unit 3629  
 Examiner Name Dixon, T.  
 Attorney Docket No. 59036-249728

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 06-0029  
 Deposit Account Name \_\_\_\_\_

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  Check  
 Money Order  
 Other (Credit Card Form)

## FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid		
Fee	Fee	Fee			
Code	(\$)	Code	(\$)		
1001	740	2001	370	Utility application filing fee	
1002	330	2002	165	Design application filing fee	
1003	510	2003	255	Plant filing fee	
1004	740	2004	370	Reissue filing fee	
1005	160	2005	80	Provisional application filing fee	

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GROUP 3600

SUBTOTAL (1) \$ \_\_\_\_\_

2. EXTRA CLAIM FEES

Total Claims	- 20** =	X	=
Independent Claims	- 3** =	X	=
Multiple Dependent			=

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description
Code	(\$)	Code	(\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ \_\_\_\_\_

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>			
Fee	Fee	Fee	Fee	<u>Fee Description</u>	<u>Fee Paid</u>
Code	(\$)	Code	(\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex part reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	110.00
1252	400	2252	200	Extension for reply within second month	
1253	920	2253	460	Extension for reply within third month	
1254	1,440	2254	720	Extension for reply within fourth month	
1255	1,960	2255	980	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,280	2453	640	Petition to revive - unintentional	
1501	1,280	2501	640	Utility issue fee (or reissue)	
1502	460	2502	230	Design issue fee	
1503	620	2503	310	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	740	2809	370	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	740	2810	370	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	740	2801	370	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,280	1454	1,280	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) Presentation of additional claims 852.00

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 962.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name:

Michael A. DeSanctis

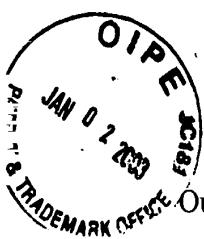
Signature:

Date: December 27, 2002

Reg. Number:

39,957

Telephone Number: 303-607-3633



Our Docket No: 59036-249728

## Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Christopher L. Jones  
Application No: 09/495,982  
Filed: February 1, 2000  
For: Financial Advisory System

Examiner: Dixon, T.

Art Unit: 3629

Application No: 09/495,982

Filed: February 1, 2000

## For: Financial Advisory System

## Assistant Commissioner for Patents

Washington, D.C. 20231

## COMMUNICATION

Dear Sir:

Applicant respectfully requests that the United States Patent and Trademark Office change our Docket No.:

From : 002821.P001X

To: 59036-249728

for the above-identified patent application.

No fee is deemed necessary. In the event that the amount submitted herewith is insufficient in any respect, please charge to Deposit Account 06-0029 and notify us of the same.

Respectfully Submitted,  
Michael A. DeSanctis

By: Michael A. DeSanctis #39 057

Michael A. Des  
Special Counsel

Special Counsel  
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Dated: 14/2/02